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Substitute for Form 1449A/PTO				<i>Complete if Known</i>		MAY 22 2001
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/704,458	Technology Center 2100
				Filing Date	11/01/00	
				First Named Inventor	Kent Erickson	
				Group Art Unit	2181	
				Examiner Name	Unassigned	
Sheet	1	of	4	Attorney Docket Number	003239.P085	

## U.S. PATENT DOCUMENTS

Exam. Initials		Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
<i>Burk</i>	AA	4,437,190	03/13/84	Rozenwaig, et al.	455	600	_____
<i>Burk</i>	AB	4,470,154	09/04/84	Yano	455	607	_____
<i>Burk</i>	AC	4,519,670	05/28/85	Spinner, et al.	350	96.15	_____
<i>Burk</i>	AD	4,530,566	07/23/85	Smith, et al.	350	96.20	_____
<i>Burk</i>	AE	4,612,670	05/16/86	Henderson	455	607	_____
<i>Burk</i>	AF	4,634,239	01/06/87	Buhrer	350	486	_____
<i>Burk</i>	AG	4,897,830	01/30/90	Hill, et al.	370	4	_____
<i>Burk</i>	AH	4,982,446	01/01/91	Lord, et al.	455	606	_____
<i>Burk</i>	AI	5,035,482	07/30/91	Ten Berge, et al.	350	96.20	_____
<i>Burk</i>	AJ	5,157,652	10/20/92	Walker	370	17	_____
<i>Burk</i>	AK	5,253,274	10/12/93	Janniello, et al.	375	121	_____
<i>Burk</i>	AL	5,272,556	12/21/93	Faulkner, et al.	359	125	_____
<i>Burk</i>	AM	5,299,044	03/29/94	Mosch, et al.	359	110	_____
<i>Burk</i>	AN	5,355,238	10/11/94	Kight, et al.	359	135	_____
<i>Burk</i>	AO	5,477,364	12/19/95	Pearson	359	139	_____
<i>Burk</i>	AP	5,485,300	01/16/96	Daley	359	180	_____
<i>Burk</i>	AQ	5,487,120	01/23/96	Choy, et al.	385	24	_____
<i>Burk</i>	AR	5,515,361	05/07/96	Li, et al.	370	15	_____
<i>Burk</i>	AS	5,521,732	05/28/96	Nishio	359	120	_____
<i>Burk</i>	AT	5,521,734	05/28/96	Frigo	359	152	_____

## FOREIGN PATENT DOCUMENTS

Exam. Initials		Document Number	Date	Country	Class	Sub- class	Translation Yes No
<i>Burk</i>	AU	EP1087556A1	03/28/01	EPO	H04B	10/21	_____
<i>Burk</i>	AV	EP0994635A1	04/19/00	EPO	H04Q	11/04	_____
<i>Burk</i>	AW	EP0953854A1	11/03/99	EPO	G02B	6/34	_____
<i>Burk</i>	AX	EP0932069A1	07/28/99	EPO	G02F	1/09	_____
<i>Burk</i>	AY	EP0910138A1	04/21/99	EPO	H01S	3/025	_____
<i>Burk</i>	AZ	EP0752794A2	01/08/97	EPO	H04Q	11/00	_____
<i>Burk</i>	BA	GB2347570A	03/03/99	United Kingdom	H04J	14/02	_____
<i>Burk</i>	BB	WO00/52865	09/08/00	PCT	H04J	14/02	_____
<i>Burk</i>	BC	WO00/30282	05/25/00	PCT	H04J	14/02	_____
<i>Burk</i>	BD	WO00/20890	04/13/00	PCT	G02B	6/26	_____
<i>Burk</i>	BE	WO99/59272	11/18/99	PCT	H04B	14/06	_____

Examiner Signature	<i>B. Healy</i>	Date Considered	<i>6/3/03</i>
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/704,458
				Filing Date	11/01/00
				First Named Inventor	Kent Erickson
				Group Art Unit	2181
				Examiner Name	Unassigned
Sheet	2	of	4	Attorney Docket Number	003239.P085

**U.S. PATENT DOCUMENTS**

Exam. Initials		Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
BWJ	AA	5,570,371	10/29/96	Iga	370	99	_____
BWJ	AB	5,629,919	05/13/97	Hayashi, et al.	369	112	_____
BWJ	AC	5,729,527	03/17/98	Gerstel, et al.	370	228	_____
BWJ	AD	5,745,274	04/28/98	Fatehi, et al.	359	187	_____
BWJ	AE	5,781,537	07/14/98	Ramaswami, et al.	370	254	_____
BWJ	AF	5,793,746	08/11/98	Gerstel, et al.	370	228	_____
BWJ	AG	5,801,863	09/01/98	Fatehi, et al.	359	124	_____
BWJ	AH	5,825,877	10/20/98	Dan, et al.	380	4	_____
BWJ	AI	5,825,949	10/20/98	Choy, et al.	385	24	_____
BWJ	AJ	5,867,289	02/02/99	Gerstel, et al.	359	110	_____
BWJ	AK	5,892,606	04/06/99	Fatehi, et al.	359	177	_____
BWJ	AL	5,900,968	05/04/99	Srivastava, et al.	359	341	_____
BWJ	AM	5,970,201	10/19/99	Anthony, et al.	385	140	_____
BWJ	AN	5,978,113	11/02/99	Kight	359	110	_____
BWJ	AO	6,002,818	12/14/99	Fatehi, et al.	385	17	_____
BWJ	AP	6,005,993	12/21/99	MacDonald	385	16	_____
BWJ	AQ	6,008,915	12/28/99	Zyskind	359	110	_____
BWJ	AR	6,009,220	12/28/99	Chan, et al.	385	24	_____
BWJ	AS	6,072,612	06/06/00	Liou, et al.	359	123	_____
BWJ	AT	6,081,361	06/27/00	Adams, et al.	359	188	_____

**FOREIGN PATENT DOCUMENTS**

Exam. Initials		Document Number	Date	Country	Class	Sub- class	Translation Yes No
BWJ	AU	WO99/48323	09/23/99	PCT	H04B	10/08	_____
BWJ	AV	WO99/13656	03/18/99	PCT	H04Q	3/52	_____
BWJ	AW	WO95/19689	07/20/95	PCT	H04Q	11/00	_____
BWJ	AX	WO91/01603	02/07/91	PCT	H04J	14/08	_____
BWJ	AY	WO90/14734	11/29/90	PCT	H04N	7/22	_____
BWJ	AZ	WO86/05649	09/25/86	PCT	H04Q	11/02	_____
BWJ	BA	WO86/04205	07/17/86	PCT	H04Q	11/02	_____
BWJ	BB	WO01/28136A1	04/19/01	PCT	H04B	10/08	_____
BWJ	BC	WO97/24822	07/10/97	PCT	H04B	10/08	_____
BWJ	BD	EP0809384A2	05/20/97	EPO	H04L	29/14	_____
BWJ	BE	WO98/54863	05/27/98	PCT	H04J	14/02	_____

Examiner Signature	<i>G. Healy</i>	Date Considered	<i>6/4/03</i>
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/704,458
(Use as many sheets as necessary.)				Filing Date	11/01/00
Sheet 3 of 4				First Named Inventor	Kent Erickson
				Group Art Unit	2181
				Examiner Name	Unassigned
				Attorney Docket Number	003239.P085

#### U.S. PATENT DOCUMENTS

Exam. Initials		Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
Burk	AA	6,108,311	08/22/00	Ramaswami, et al.	370	258	_____
Burk	AB	6,147,968	11/14/00	De Moer, et al.	370	225	_____
Burk	AC	6,148,124	11/14/00	Aksyuk, et al.	385	24	_____
Burk	AD	6,188,810B1	02/13/01	Baney	385	11	_____
Burk	AE	6,198,571B1	03/06/01	Yang	359	337	_____
Burk	AF	6,207,949B1	03/27/01	Jackel	250	227	_____
Burk	AG	6,601,482	05/09/00	Davis	385	17	_____
Burk	AH	6,047,331	04/04/00	Medard, et al.	709	239	_____
Burk	AI	6,046,833	04/04/00	Sharma, et al.	359	119	_____
	AJ						
	AK						
	AL						
	AM						
	AN						
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						

#### FOREIGN PATENT DOCUMENTS

Exam. Initials		Document Number	Date	Country	Class	Sub- class	Translation Yes No
Burk	AU	EP0721275A2	12/28/95	EPO	H04M	3/36	_____
Burk	AV	EP0857000A2	01/30/98	EPO	H04Q	11/00	_____
Burk	AW	EP0938244A2	01/15/99	EPO	H04Q	11/00	_____
Burk	AX	WO00/13210	09/09/99	PCT	G02B	26/08	_____
	AY						
	AZ						
	BA						
	BB						
	BC						
	BD						
	BE						

Examiner Signature	<i>B. Healy</i>	Date Considered	<i>6/4/03</i>
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				Group Art Unit	2181
				Examiner Name	Unassigned
Sheet	4	of	4	Attorney Docket Number	003239.P085

**OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)**

Examiner Signature	<u>S. Healy</u>	Date Considered	<u>6/4/03</u>
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**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number.



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PTO/SB/06A (10-96)  
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~~Substitute for form 1449A/PTO~~

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 1 of 2

Complete if Known	
Number	09/704,458
Entered Inventor	November 1, 2000
Unit	Kent Erickson
Name	2181
Socket Number	Unassigned
	3239P085

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature	B. Healy	Date Considered	6/3/03
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Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents.



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**Substitute for form 1449A/PTO**

**INFORMATION DISCLOSURE**

**STATEMENT BY APPLICANT**

Sheet 2 of 2

Substitute for form 1449A/PTO				<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/704,458
				Filing Date	November 1, 2000
				First Named Inventor	Kent Erickson
				Group Art Unit	2181
				Examiner Name	Unassigned
				Attorney Docket Number	3239P085
Sheet	2	of	2	<i>RE</i> <i>AUG</i> <i>G</i>	

**OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)**

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
<i>BW/S</i>		A. HIMENO, R. NAGASE, T. ITO, K. KATO and M. OKUNO; Photonic Inter-Module Connector Using 8x8 Optical Switches for Near-Future Electronic Switching Systems;
<i>BW/S</i>		IEICE Transactions on Communicaitons; E77-B(1994) February, No. 2, Tokyo, JP

Examiner Signature	B. Heavy	Date Considered	6/5/03
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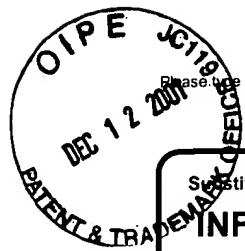
Substitute for form 1449A/PTO		<i>Complete if Known</i>			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>					
 DEC 12 2001		Sheet	1	of	2
		Application Number	09/704,458		
		Filing Date	November 1, 2000		
		First Named Inventor	Kent Erickson		
		Group Art Unit	2181		
		Examiner Name	Unassigned		
		Attorney Docket Number	3239P085		

Examiner Signature	R. Leah	Date Considered	6/5/03
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet

2

of

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### Complete if Known

Application Number	09/704,458
Filing Date	November 1, 2000
First Named Inventor	Kent Erickson
Group Art Unit	2181
Examiner Name	Unassigned
Attorney Docket Number	3239P085

### OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
BWB		Okamoto, S. et al.; "Optical Path Cross-Connect Node Architectures for Photonic Transport Network", Journal of Lightwave Technology, Vol. 14, No. 6, June 1996, pgs. 1410-1422.	
BWB		Lin, L.Y. et al.; "Micro-Electro-Mechanical Systems (MEMS) for WDM Optical-Crossconnect Networks", Milcom 1999; IEEE Military Communications Conf Proceedings; Atlantic City, NJ 10/31-11/3/99; pgs. 954-957.	RECEIVED DEC 18 2001 Technology Center 2100

Examiner Signature	B. Healy	Date Considered	6/5/03
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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				Application Number	09/704,458
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				Attorney Docket Number	3239P085
Sheet	1	of	1		

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Examiner Signature	B. Fealy	Date Considered	6/3/03
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**Complete if Known**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

2009-03-2009

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Sheet 1 of 1 Attorney Docket Number 003239.P085

Sheet 1 of 1 Attorney Docket Number 003239.P085

## **U.S. PATENT DOCUMENTS**

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Technology Center 2000

## FOREIGN PATENT DOCUMENTS

~~CLASS~~ 543  
~~CLASS~~

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD- YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (If known)				
BW		EP-A-0	938 244	Fujitsu, Ltd.	25 August 1999	385	24X
BW		WO	99 40738 A	Tol Johannes Jacobus Gerardus; Koninkl KPN NV (NL)	12 August 1999	385	24X
GW		EP-A-0	857 000	Nippon Electric Co.	5 August 1998	385	24X
GW		EP-A-0	849 906	Fujitsu, Ltd.	24 June 1998	385	24X
GW		EP-A-0	674 457	Fujitsu, Ltd.	27 September 1995	385	24X

Examiner  
Signature

### Date Considered

6/5/03

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# Electronic Information Disclosure Statement

## Connection Protection Between Clients and Optical Cross-Connect Switches

Application: 09/704458

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Confirmation: 3998

JUL 23 2002

Applicant(s): Kent Erickson

Technology Center 2100

Docket Number: 003239.P085

Group Art Unit: 2181

Examiner: Unassigned

search string: ( 4365863 or 4369523 or 4563774 or 4580873 or 4797879 or 4817014 or 4843382 or 4856863 or 4859012 or 4886335 or 4903225 or 4984238 or 5037173 or 5216729 or 5260819 or 5349550 or 5359683 or 5440654 or 5488862 or 5524153 or 5535293 or 5539328 or 5608735 or 5629790 or 5648618 or 5694389 or 5699463 or 5719903 or 5727098 or 5774604 or 5828476 or 5864643 or 5903687 or 5915063 or 5942937 or 5960132 or 6002818 or 6005993 or 6069924 or 6097858 or 6097859 or 6160821 or 6188814 or 6195402 or 6295154 or 6392220 ).pn.

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
	P01	4365863	1982-12-28		Broussaud	385	31X
	P02	4369523	1983-01-18		Seki, et al.	398	9X
	P03	4563774	1986-01-07		Gloge	375	1X
	P04	4580873	1986-04-08		Levinson	250	227.11
	P05	4797879	1989-01-10		Habbab, et al.	370	3

					CLASS	S46 CLASS
P06	4817014	1989-03-28	[Barcode]	Schneider, et al.	364	728.03
P07	4843382	1989-06-27	[Barcode]	Oda, et al.	340	825.59
P08	4856863	1989-08-15	[Barcode]	Sampsell, et al.	385	24X
P09	4859012	1989-08-22	[Barcode]	Cohn	385	24X
P10	4886335	1989-12-12	[Barcode]	Yanagawa, et al.	250	227.11
P11	4903225	1990-02-20	[Barcode]	Brost	375	96
P12	4984238	1991-01-08	[Barcode]	Watanabe, et al.	370	105.1
P13	5037173	1991-08-06	[Barcode]	Sampsell, et al.	385	17
P14	5216729	1993-06-01	[Barcode]	Berger, et al.	385	31
P15	5260819	1993-11-09	[Barcode]	Hadjifotiou, et al.	359	110
P16	5349550	1994-09-20	[Barcode]	Gage	364	728.03
P17	5359683	1994-10-25	[Barcode]	Pan	385	22
P18	5440654	1995-08-08	[Barcode]	Lambert, Jr.	385	17
P19	5488862	1996-02-06	[Barcode]	Neukermans, et al.	73	504.02
P20	5524153	1996-06-04	[Barcode]	Laor	385	16
P21	5535293	1996-07-09	[Barcode]	Buchin	385	18
P22	5539328	1996-07-23	[Barcode]	Mirov, et al.	326	30
P23	5608735	1997-03-04	[Barcode]	McCullough, et al.	370	513
P24	5629790	1997-05-13	[Barcode]	Neukermans, et al.	359	198
P25	5648618	1997-07-15	[Barcode]	Neukermans et al.	73	862.08
P26	5694389	1997-12-02	[Barcode]	Seki, et al.	370	208
P27	5699463	1997-12-16	[Barcode]	Yang, et al.	385	22
P28	5719903	1998-02-17	[Barcode]	Hiben, et al.	375	322
P29	5727098	1998-03-10	[Barcode]	Jacobson	385	31
P30	5774604	1998-06-30	[Barcode]	McDonald	385	18

						CLASS	S4B CLASS
P31	5828476	1998-10-27	[Barcode]	Bonebright, et al.	359	152	
P32	5864643	1999-01-26	[Barcode]	Pan	385	33	
P33	5903687	1999-05-11	[Barcode]	Young, et al.	385	17	
P34	5915063	1999-06-22	[Barcode]	Colbourne, et al.	385	140	
P35	5942937	1999-08-24	[Barcode]	Bell	329	303	
P36	5960132	1999-09-28	[Barcode]	Lin	385	24X	
P37	6002818	1999-12-14	[Barcode]	Fatehi, et al.	385	24X	
P38	6005993	1999-12-21	[Barcode]	MacDonald	385	24X	
P39	6069924	2000-05-30	[Barcode]	Sudo, et al.	385	24X	
P40	6097858	2000-08-01	[Barcode]	Laor	385	24X	
P41	6097859	2000-08-01	[Barcode]	Solgaard, et al.	385	24X	
P42	6160821	2000-12-12	[Barcode]	Dolle, et al.	385	24X	
P43	6188814	2001-02-13	[Barcode]	Bhalla	385	24X	
P44	6195402	2001-02-27	[Barcode]	Hiramatsu	385	24X	
P45	6295154	2001-09-25	[Barcode]	Laor, et al.	385	24X	
P46	6392220	2002-05-21	[Barcode]	Slater, et al.	385	24X	

## Signature

Examiner Name	Date
R. Healy	6/5/03



#10  
10-902  
E. Hall

# Electronic Information Disclosure Statement

## Connection protection between clients and optical cross-connect switches

Application: 09/704458

Confirmation: 3998

Applicant(s): Kent Erickson

Docket Number: 003239.P085

Group Art Unit: 2181

Examiner: Wong, Peter S.

search string: (6,130,876 or 6,185,021 or 6,192,172 or 6,222,954 or 6,252,689 or 6,272,154 or 6,278,812 or 6,285,809 or 6,301,402 or 6,317,530 or 6,374,008 or 6,400,730 or 5,666,487 ).pn.

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Technology Center 2100

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
	P01	6,130,876	2000-10-10		Chaudhuri	370	228
	P02	6,185,021	2001-02-06		Gatehi, et al.	359	117
	P03	6,192,172	2001-02-20		Fatehi, et al.	385	17
	P04	6,222,954	2001-04-24		Riza	385	18
	P05	6,252,689	2001-06-		Sharp	359	168

			26			CLASS	SUB CLASS
	P06	6,272,154	2001-08-07	[REDACTED]	Bala, et al.	359	341
	P07	6,278,812	2001-08-21	[REDACTED]	Lin, et al.	385	18
	P08	6,285,809	2001-09-04	[REDACTED]	Nir, et al.	385	17
	P09	6,301,402	2001-10-09	[REDACTED]	Bhalla, et al.	385	16
	P10	6,317,530	2001-11-13	[REDACTED]	Ford	385	17
	P11	6,374,008	2002-04-16	[REDACTED]	Solgaard, et al.	385	17
	P12	6,400,730	2002-06-04	[REDACTED]	Latif, et al.	370	466
	P13	5,666,487	1997-09-09	[REDACTED]	Goodman, et al.	382	232

## Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. \* Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. \* This Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. \* Applicants respectfully requests that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record. \*

## Signature

Examiner Name	B. Healy	Date	6/9/03
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